

Retention and Disposal of Construction Project Records for Local Agency projects utilizing Federal and/or State Funds

11/12/04

This document shall codify guidelines for the retention and disposal of project records for construction as they pertain to Local Agencies.

The Federal Highway Administration (FHWA) along with the Michigan Department of Transportation (MDOT) requires that project construction records for federal and/or state funded projects be retained for a minimum of three years past the final accounting date. The final accounting date, for the purpose of records retention, occurs when MDOT's Financial Operations Division (FOD) submits final billing to the FHWA for federal funds or financially closes out state funded projects.

The *File Manual for Construction Records* contains all relevant information regarding records retention based on MDOT standards. Attached in lieu thereof and pursuant to 49 CFR PART 18.42 are specific points of interest for the Local Agency. Any litigation, claim, negotiation, audit, or analogous process begun before the final accounting date and extending beyond it shall be causation for continuance of these retention guidelines. This document is not all inclusive and is subject to change.

Local Agency Guidance Document for Retention of Construction Records

- The managing office engineer (county/city/consultant) is responsible for all project records required at the project site.
- All project records are to be transferred to or retained by the local agency having jurisdiction over it. If federal and/or state funds are involved, the local agency will retain the records for a minimum of three years past the FHWA and/or MDOT final accounting date. The MDOT delivery/project/resident engineer will provide the FHWA and/or MDOT final accounting date to the local unit of government.
- If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained at the project office until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period, whichever is later. This will also apply to projects with warranty work, as well as post final estimates.

Contract ID

Contract ID numbers are assigned when a project is programmed as a unique identifier by work phase. Phase A is the construction phase. Assignments are made by Project Administration Section, Bureau of Transportation Planning.

The first two digits represent the county designation: e.g. 58 – Monroe County
The next three numbers represent the location within the county. The job number (those numbers after the first five) are based on a sequential numbering system and have no meaning.

Example: Contract ID: 58034-48611

Project Identification

All project documentation should be appropriately identified and filed in numeric sequence by contract ID number. All project data (and folder labels) should carry the contract ID number. All data will be filed at the proper location within the record series.

Record Series

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|------------|---|
| 100 Series | A record category to accommodate administrative and financial-type documents. |
| 200 Series | A record category to accommodate construction records. |
| 300 Series | A record category to accommodate testing records. |

Folder Identification

All file folders will be labeled and each label will show the folder number, title, and the appropriate contract project identification.

Example:	102	Contract	58034-48611
	105	Contract Modifications	58034-48611
	110	Estimates	58034-48611

When the document volume within any given folder becomes sufficiently large to be cumbersome, an additional folder(s) may be used.

Example:	112	Correspondence	58034-48611
	112A	Correspondence	58034-48611

In the event there are multiple project numbers within a construction contract, further identification detail should appear on each such folder, along with folder number, folder name, and contract ID. This may not be necessary for small contracts due to the small volume of records. Typically the lowest project number will be included in contract ID.

Example:				
<u>Contract ID:</u>	<u>Control Section:</u>	<u>Project</u>	<u>Fed#</u>	<u>Fed Item</u>
58034-48611	ANH 58034	48611A	NH 0358(001)	HH3396
	ABHN 58034	53371A	BHN 0358(002)	RR3462
	ANH 58034	59313A	NH 0358(003)	HH3397
105	Contract Modifications		58034-48611	
	ANH 58034 - 48611A			
105A	Contract Modifications		58034-48611	
	ABHN 58034 - 53371A			
105B	Contract Modifications		58034-48611	
	ANH 58034 - 59313A			

Project Records Files, Forms, and Retention Table

This table lists the common forms and record types used for the administration of federal and/or state aid projects and the retention and disposition of each. The forms and record types listed may not be all inclusive. Moreover, there may be forms and record types used which are not listed here. The absence of a form or record type from this document or the retention schedule does not exclude it from the state of Local Agency's retention policy.

PROJECT FILE NO.	MDOT FORM NO.	FOLDER TITLE / (Document Title or Types)
100		ADMINISTRATIVE/FINANCIAL DOCUMENTS
101		ADVERTISING AND AWARD
		Notice to Proceed Date
		Letters of Approval of Contract Bidders
102		CONTRACT
		Proposal/Addenda
	1130	Progress Schedule
		Contract
103		SUBCONTRACT AGREEMENTS
	1302	Subcontract Agreements
		Blue Sheet (DBE Participation)
104		WORK ORDERS/DAMAGE CLAIM NOTICE
	1119	Damage Claim Notice
	1137	Work Orders
	1165	Notice of Non-Compliance with Contract Requirements
105		CONTRACT MODIFICATIONS
		Contract Modifications Adjustments Changes Extras Extension of Time Revised Progress Schedules
106	1112D	PROGRESS REPORTS Form 1112D Bi-Weekly Construction Progress Report has been eliminated per BOHIM 2004-03. For projects closed out prior to BOHIM 2004-03
107		CONSTRUCTION STATUS
	1116	Weekly Statement of Work Days Charged
108		CONTRACTOR'S EVALUATION, INSPECTION REPORTS, NPDES & INSPECTORS DAILY REPORT (IDR)
	1120	Final Inspection/Acceptance and Certification Report
	1122B	Field Book (Inspector's Daily Report - IDR)
		Field Measurements (Attached to Field Book (IDR)) Work Sheets
	1126	NPDES - Inspection Reports

PROJECT FILE NO.	MDOT FORM NO.	FOLDER TITLE / (Document Title or Types)
	1182	Contractor Performance Evaluation
		Warranty Acceptance Documents
109		CONTRACT ACCOUNTING
	1101	Force Account (if not attached to Contract Modification and documentation)
	1101A	Force Account - Daily Field Record
	1168	Force Account Worksheet for equipment
110		PAY ESTIMATES
		Engineer's Estimate
		Final Estimate
		Post Final Construction Estimate
		Construction Estimate
111		PAYROLLS & TRAINEE REPORTS
	1156	Minimum Wage Rate - Interview Sheet
	1199	Weekly Employment and O.J.T. Report
	WH-347	Payrolls
	WH-348	Statement of Compliance
112		CORRESPONDENCE
		General Correspondence Published Articles & News Clips
113		MEETINGS & SAFETY PROGRAM
		Pre-Construction minutes, Progress Meetings, Post-Construction Meetings
114		UTILITIES - PERMITS - REAL ESTATE DATA
		All Forms Pertaining to Utilities, Permits and Real Estate.
115		RAINFALL RECORDS
	1108A	Rainfall Record (Not used in all offices)
200		CONTRACT HISTORY
		Backup Disks
	1147 & 1147C	Final Estimate Review Summaries
CONSTRUCTION DOCUMENTS – “200” FILE SERIES		
201		Construction Survey Notes – Shop Drawings
		Contractor's Staking QC Plan
		Revision of plans
202		PHOTOGRAPHS & VIDEOS
203		GRADE SHEETS – STRUCTURE STAKEOUT
	201	Grade Sheets
	1145	Grade Checks (or attach to IDR)
204		TRAFFIC ITEMS (BARRICADE CHECKS, ETC.)

PROJECT FILE NO.	MDOT FORM NO.	FOLDER TITLE / (Document Title or Types)
	1013	Inspector's Checklist (Arrow Bar)
205		MISCELLANEOUS ITEMS (ALL MISC ITEM DOCUMENTATION)
	204	General Computations (or attach with appropriate documentation)
	205	Engineer Calculation (or attach with appropriate documentation)
	500	Coring Request
	583	Records of Soils Recommendation
	1125	Permit to Place
	1190	Structure Measurements
206		REMOVAL ITEMS
		Documentation for Removal Items
207		EARTHWORK ITEMS
	1124	Earthwork Data Sheet
	1198	Volume Sheet
208		HMA TICKETS & QA/QC REPORTS
		HMA Delivery Tickets
		Contractor's Quality Control Plan
	1903-B	Report of Verification of Quality Assurance Testing
	1903-C	Daily Report of Contractor's Quality Assurance Tests
	1907	MDOT Testing of Compacted HMA Density & Percent Compaction
	1911	Job Mix Formula (JMF) HMA Field Communication
209		AGGREGATE ITEMS & TICKETS
		Delivery Tickets, Aggregate Summary Sheets, Etc.
210		CONCRETE – TICKETS, 1174'S & QA/QC
	590	Cylinder Results
	1131	Bridge Decks Conc. Depth Measurements
	1160	Report of Modulus Rupture
	1160-A	Concrete Cylinder/Core Compression Test Results
	1174	Concrete Proportioning Plant Report
	1174-A	Inspector's Report of Concrete Placed
		Contractor's Quality Control Plan
211		DRAINAGE ITEMS
		Documentation for Drainage Items
212		RESTORATION ITEMS
		Documentation for Restoration Items
213		GUARDRAIL ITEMS
		Documentation for Guardrail Items
EXAMPLES OF TESTING INSPECTION FILES – “300” FILE SERIES		
300		TESTING ORDERS

PROJECT FILE NO.	MDOT FORM NO.	FOLDER TITLE (Document Title or Types)
301		DENSITY TESTING
	509	IAT – Density Testing
	582	Moisture and Density Determination of Soils
	582-A	Record of Density Retests
		Contractor's Quality Control Plan
302		MISCELLANEOUS TESTING FOR ALL MISC ITEMS
		Misc. Material Certifications
	506	Report of Sign Inspection
	566	Report of Field Inspection
	1143	Testing Earth Grade with Compactor
	1178	Transfer of Tested Material
	1922	Tested Stock Report
	1923	Sample Identification
	1929	Welder Qualification Procedure Report
		Commercial Laboratory Test Reports (General)
		Report of Test - Laboratory
303		BITUMINOUS ITEMS TESTING
		Material Certifications for Bituminous Materials
	1842	Report of Test – Bituminous Mixtures Independent Assurance Sample
	1903	Daily Report of HMA Plant Inspection
	1931	Report of Test Marshall HMA Design Mix Formula
	1931-B	Report of Test – HMA Mix Design - Regression
304		DRAINAGE ITEMS TESTING
		Material Certifications for Drainage Items
	1919	Corrugated Metal Pipe Report
	1920	Field Report for Concrete Pipe
	1920A	Field Report for Pre-cast Drainage Structure Items
305		CONCRETE ITEMS TESTING
	502	Pavement Core Record
	503	IAT – Concrete Sampling and Testing
	551	Report of Field Test and Concrete Test Cylinders
	580	Concrete Plant Equipment Inspection Report
	580-A	Concrete Plant Inspection
	1155	Weekly Summary of Certified Concrete from Commercial Central Mix and Transit-Mix Plants
306		AGGREGATE & GRANULAR MATERIALS TESTING
	504	IAT – Aggregate Sampling and Testing
	1900	Aggregate Inspection Daily Report
	1901	Mechanical Analysis Report
307		BRIDGE ITEMS ALL ENGINEERING & TESTING (STEEL & ETC.)
	507	Camber Measurements
	519	Cantilever and Bridge Mount Inspection

PROJECT FILE NO.	MDOT FORM NO.	FOLDER TITLE (Document Title or Types)
	538	Shop Inspection of Structural Steel
	538A	Magnetic Particle Inspection Report
	538B	Inspection Report (Ultrasonic Exam of Welds)
	557	Pre-stressed Conc. Beam Construction Field Data Sheet
	579	Structure Foundation Inspection
	1138	Bridge Reinforcing Computations
	1156	Test Pile Record
	1157	Pile Driving Record
<p>Note 1: Subtitled folders will be assigned to item of work folders and tested materials folders. A subtitled folder may be set up for a single item of work and tested material, or for a group of related items of work or materials. Subtitled and appropriately titled folders should be provided in sufficient quantity and groupings to permit convenient and quick access to the item of work and material documentation. The quantity of subtitled folders will vary with the type of project and with the variety and numbers of items of work.</p> <p>On a resurfacing project containing three or four items of work, all the required documentation for support of the quantities could be filed in one subtitled folder.</p>		